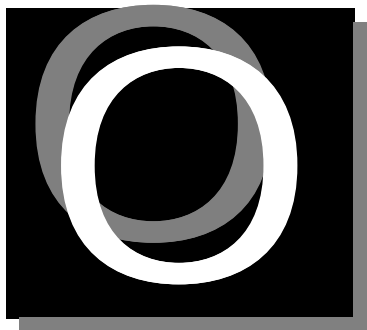


ENANT



PPORTUNITIES



ROGRAM

1997 APPLICATION KIT

APPLICATION DUE DATE:

Applications are due in the local HUD office by

August 13, 3:00 p.m.

(A listing of offices is contained in this kit)

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT



OFFICE OF COMMUNITY RELATIONS AND INVOLVEMENT

451 SEVENTH STREET, S.W. WASHINGTON, D.C. 20410

JUNE 1997

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INTRODUCTION

BACKGROUND

Funding for the Tenant Opportunities Program (TOP) is authorized by Section 122 of the Housing and Community Development Act of 1987 (Public Law 100-42, approved February 5, 1988). The United States Housing Act of 1937 was amended by adding a new Section 20 (42 U.S.C. 1437r). The purpose of the TOP is to provide training and technical assistance to residents towards economic self-sufficiency and personal growth at a community facility or other location that is within easy access of the recipients. The focus in Fiscal Year (FY) 1997 is to move a substantial number of welfare dependent families to work.

The FY 1997 Notice of Funding Availability (NOFA) announced that \$5 million of funding is available under HUD's FY 1997 congressional appropriation (Public Law 104-204) for the Economic Development/Supportive Services (ED/SS) set-aside was further allocated to fund the TOP program for FY 1997. The Department has also carried over \$15 million appropriated in FY 1996 for the TOP pursuant to the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Public Law 104-134, 110 Stat. 1321: approved April 26, 1996). In order to adjust for a technical error, the Department allocated \$25,000 from the \$15 million carried over to fund an applicant not awarded a grant pursuant to a previous TOP NOFA. The Department is adding the remaining \$14,975,000 carried over from the previous fiscal year to the \$5 million available under the 1997 HUD Appropriation to make a total of \$19.975 million available for award pursuant to the TOP NOFA.

The TOP NOFA was combined with the HUD announcement for the remaining \$42.250 million in ED/SS funds, although the two application processes remain separate. Combining the two announcements highlights HUD parallel restructuring of the two programs. HUD views these two programs to be complementary to one another and envisions them working closely together in the future. The restructuring of the two programs also represents a major HUD initiative to improve the targeting and management of limited resources for public and Indian housing self-sufficiency. The goal is to effectively focus these resources on "welfare to work" for non-elderly families and on independent living for the elderly and persons with disabilities.

The body of the NOFA contains information concerning the NOFA's purpose, applicant eligibility, selection criteria, and application processing, including how to apply, how selections will be made, and how applicants will be notified of results. The NOFA indicated that an application kit would follow with detailed instructions on how to complete the application.

This application kit must be used to apply for a grant under the Public and Indian Housing Tenant Opportunities Program (TOP) in order for HUD to review and evaluate the applicant's eligibility, proposed grant activities, costs and administrative capacity for successful grant implementation.

ORGANIZATION OF APPLICATION KIT

The Application Kit includes general instructions for preparation of an application and blank forms, charts and worksheets in two basic parts:

Part 1. Basic Program Requirements - This part summarizes TOP program requirements including: application threshold requirements and selection criteria; maximum grant amounts; applicant and participant eligibility criteria; eligible activities and costs, and the maximum length of time for implementing the grant. For additional information, please contact the local HUD Public Housing Division or the Native American Programs Office.

Part 2. Completing Your Application - Cover sheets, instructions for narratives, charts and other submission materials are provided for use in preparing the application. You should also refer to the corresponding sections of the Notice of Funding Availability (NOFA) to ensure that all information that is needed is provided. Use each cover sheet as part of the first page for each tabbed section of your application. Use additional sheets as needed when developing sections of your application. As a convenience to applicants, the NOFA is included as Attachment 2 in this kit.

APPLICATION SUBMISSION

An original and two copies of your application **must be submitted** to the appropriate HUD Public Housing Division/Native American Programs Office **on or before 3:00 p.m., local time, August 13, 1997**. If the application is not physically received by the deadline, it will not be evaluated. Facsimile and telegraphic applications are not authorized and will not be considered.

All applicants must also send a copy of the Fact Sheet (See Tab 1 of this application kit) to the attention of: U.S. Department of HUD, Office of Resident Involvement, Room 4112, 451 Seventh Street, S.W., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION

Information is requested in accordance with HUD's regulatory authority and OMB Approval No. 2577-0087 (without such a valid OMB control number, you are not required to provide this information). HUD will use information to rate applications, determine eligibility and assign grant amounts. Funding selection is based on rating factors listed in each year's NOFA. Information requested in the Application Kit is only for this year's funding competition. Public reporting burden is estimated to average 13 hours per response, including the time for reviewing instructions, searching existing data sources, and gathering/maintaining/ reviewing data. Send comments regarding this collection of information to the Reports Management Officer, Paperwork Reduction

Project (2577-0087) Office of Information Technology, U.S. Department of HUD, Washington, D.C. 20410-3610. (Do not send the application to the above address). HUD complies with the Privacy Act with respect to information of a confidential nature, but this application does not request the submission of such information.









Warning: HUD will prosecute false claims and statements. Conviction will result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

INFORMATION CONTACTS

If you have questions about this application kit or the program in general, please contact your respective HUD Public/Indian Housing Field Office.

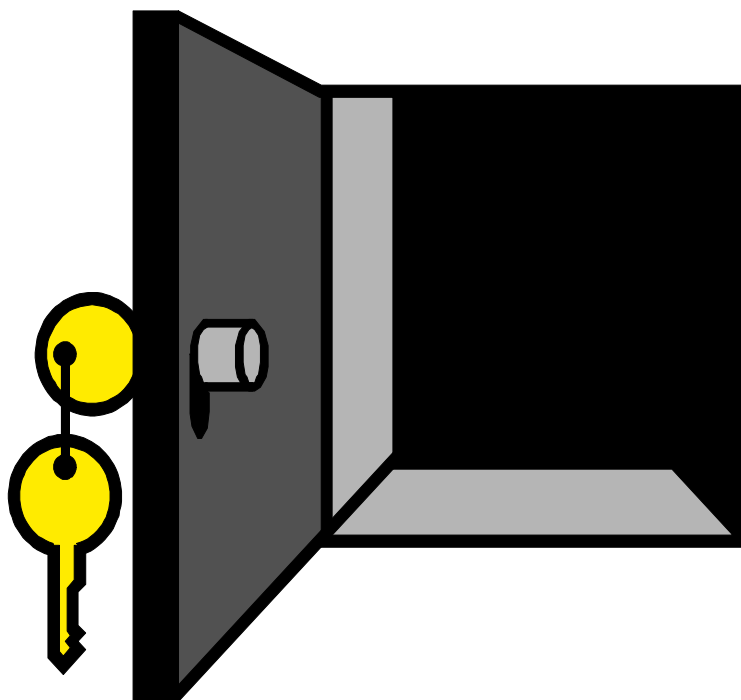
GENERAL TIPS FOR GRANT APPLICATION

This application kit provides all information needed to prepare a complete grant application. Please use the sheets in Part Two as cover sheets for each of the required tabbed sections. Other additional tips for grant application preparation:

-  Number your pages!
-  Follow the required Application Checklist in Part 2 Tab 1 of this Kit for organizing and completing your application.
-  Follow instructions for completing Form 424.
-  Make sure the application is a collaborative effort. Participation of the Housing Authority, the contract administrator (if different than the Housing Authority), and the resident community in application preparation is critical.
-  Applicants should not solicit any proposals for application preparation or for a training or technical assistance contract prior to receiving a TOP grant award.
-  Have more than one person review the application to ensure that all required information and forms are signed and included in the application.
-  Make sure that all Selection Factors outlined in the NOFA for the appropriate applicant type (Basic, Additional or Intermediary Resident Organization) are addressed.
-  Consider using in-kind or pro bono services from Historically Black Colleges/Universities (HBC/U), local colleges and universities and local community agencies to assist in the preparation of the application, as well as to commit to “partner” with/provide resources to the Resident Association in accomplishing TOP Implementation Plan “welfare-to-work” activities.

PART I

BASIC PROGRAM REQUIREMENTS



THRESHOLD CRITERIA

Each applicant must meet several threshold requirements in order for the application to be complete and acceptable for rating and ranking. All threshold requirements are summarized below. It is very important that you also read the complete description of each Threshold Criterion in the attached NOFA (see NOFA, Section VII(g), Program Requirements - Threshold Criteria):

- Submit a Needs Assessment Report that contains sections with statistical or survey information on the needs of the recipient population that addresses the needs of the development to be served and an identification of resources to meet the needs.
- A two-year Implementation Plan linked to a resident self-sufficiency or independent living strategy and include specific program goals, objectives, performance measures, staffing, timetable, budget, evidence that the proposed TOP has been coordinated with and supports the HA's efforts to increase self-sufficiency and is coordinated and consistent with the State Welfare Plan
- Focus on Residents Affected by Welfare Reform. The application must contain written evidence that at least 75% or more of the public or Indian housing residents to be included in the proposed program are affected by the welfare reform legislation. These may include TANF recipients, legal immigrants, and disabled SSI recipients. The proposed grant implementation plan must be consistent with the State welfare plan.
- Partnership between the Resident Association (RA) and the Housing Authority (HA). The application must contain a signed MOU between the RA and the HA which describes the specific roles, responsibilities and activities to be undertaken between the two entities as these apply to the proposed grant.
- Evidence that a preponderance of proposed program activities will be administered in community facilities in or within easy access of the property represented by the RA. The facility(s) must be accessible to persons with disabilities.
- Evidence that the RA will use the services of a Contract Administrator in administering the TOP grant. (This requirement does not apply if the applicant can provide evidence that a financial management system and procurement procedures are established.) The financial system must be examined and determined satisfactory and in compliance with the requirements of 24 CFR Part 84 by HUD or an independent public accountant. This requirement does not apply to an Intermediary Resident Organization applicant.
- Evidence that the applicant is registered as a nonprofit corporation with 501(c) status or has applied for such status. However, Intermediary Resident

Organizations must be registered as a nonprofit corporation..

- Provide certification of the RA board election as required by HUD, notarized by the local HA and/or independent third-party monitor
- Be in compliance with the requirements of any HUD grant programs designed to assist resident self-sufficiency in which the applicant is currently participating or has participated previously.
- Provide certification that the applicant will secure access to on-line computer/Internet capability for communication with HUD.
- Not have any unresolved HUD Inspector General Audit Finding or negative HUD program finding on equal opportunity or nondiscrimination.

SELECTION CRITERIA

The number of points that an application receives will depend on how well it addresses the selection factors described below. An application must receive a score of at least 75 points out of the maximum of 100 points that may be awarded under this competition to be considered for funding. Unless specifically noted in the NOFA, Intermediary Resident Organization applicants will be scored based on the same factors as are generally applicable to the TOP program. All applications will be placed in an overall nationwide ranking order and funded until all funds are exhausted. The TOP Selection Factors, which are detailed in Section VII(h) of the NOFA, can be summarized as follows for both Basic/Additional applicants and Intermediaries applicants:

- | | | |
|-----|---|--------------------|
| (1) | Quality of the TOP Implementation Plan | (40 points) |
| | (i) Needs Assessment | (10 points) |
| | (ii) Viability and Comprehensiveness of the Strategies to Address the Needs of Residents | (15 points) |
| | (iii) Proposed Program Staffing | (5 points) |
| | (iv) Budget Appropriateness/Efficient Use of Grant Funds | (5 points) |
| | (a) Detailed Budget Break-Out | |
| | (b) Reasonable Administrative Costs | |
| | © Budget Efficiency | |
| | (v) Reasonableness of the Timetable | (5 points) |
| (2) | Adequacy of Managerial/Fiscal Structure for Administering and Coordinating the Services to Meet the Needs | |
| | (i) Program Administration | (5 points) |
| | (ii) Fiscal Management | (5 points) |
| | (iii) Program Assessment | (5 points) |
| | (iv) Applicant/Administrator Track Record/Capability | (15 points) |

- | | | |
|-----|--|--------------------|
| (3) | Partnerships | (30 points) |
| | (i) Housing Authority-Resident Association Partnership | (10 points) |
| | (ii) Other Partnerships | (15 points) |
| | (iii) Resident Involvement | (5 points) |
| (4) | Bonus Points - Leveraging Community Resources | (5 points) |

In the event that two or more eligible applications receive the same score, and both cannot be funded because of insufficient funds, the application with the highest score in Selection Criterion 4 will be selected. If Selection Criterion 4 is scored identically for both applications, the scores in Selection Criteria 1, 2, 3, and 5 will be compared in this order, one at a time, until one application scores higher in one of the factors and is selected. If the applications score identically in all factors, the application that requests less funding will be selected.

ELIGIBLE APPLICANTS

The TOP offers three types of grants: (1) Basic Grants for Resident Associations, (2) Additional Grants for Resident Associations, and (3) Intermediary Resident Organization Grants. Eligible Resident Associations (RAs) include Resident Councils, Resident Management Corporations, and Resident Organizations. Eligible Intermediary Resident Organizations (IROs) include National Resident Organizations, Regional Resident Organizations, and Statewide Resident Organizations. Applicants must meet the definition of one of these types of organization provided in Section IV of the NOFA to be eligible for a TOP Grant in the appropriate category.

This year, the following restrictions have been placed on applicant eligibility which differ from previous years: (a) HUD no longer allows for the submission of city-wide/jurisdiction-wide or multiple RA applications except from HAs in which there are no incorporated site-based RAs, in which case, jurisdiction-wide applicants may qualify as an IRO; (b) Except for IRO applications, only applications which represent a single development may apply; (c) Joint applications of any sort will not be considered for grant awards. In instances where an RA consists of scattered sites, or two or more project sites are legally organized as a single unit under its 501(c)(3) authorization, the RA will be considered as a single applicant, and is eligible to apply; (d) HUD no longer allows for the formation of Partnership Paradigm Technical Assistance (PPTA) organizations or Technical Assistance Organizations (TAOs). Therefore, no PPTA or TAO applications will be considered for grant awards, and (e) All applicants must be registered as non-profit corporations with 501(c) status or have applied for such status at the time of Application Submission.

ELIGIBLE PARTICIPANTS

Eligible residents include residents of conventional public and Indian housing developments.

MAXIMUM GRANT AMOUNT

Any Resident Association that received a total of less than \$100,000 for Resident Management (RM)/ TOP technical assistance in Fiscal Years 1988 through 1995 is eligible for an Additional Grant. The maximum amount that an eligible applicant may receive under this grant program for all funding years is \$100,000. Basic Grant applicants (applicants who have never received a RM/TOP grant) may apply for up to the full \$100,000 limit. Additional Grant Applicants may apply for the difference between \$100,000 and the total dollar amount of RM/TOP grants received to date.

This year, at time of applicant selection, HUD will limit the TOTAL amount of funds that it will award altogether to all Resident Associations (except for Native American Resident Management Organizations) within the jurisdiction of a SINGLE Housing Authority. The limit, for this funding round only, per Housing Authority varies from \$700,000 for smaller Housing Authorities to \$2.1 million for the largest Housing Authorities (see Section VII (d)(3) of the NOFA for details). This does not affect the maximum amount for which a particular RA may apply, but may affect the number of Resident Associations that HUD funds within a particular Housing Authority depending on the number of and point scores of applications received from Resident Associations within the Housing Authority's jurisdiction.

The maximum amount that an Intermediary Resident Organization (IRO) applicant may receive for this funding round is \$250,000, except for an eligible Jurisdiction-Wide Resident Organization which may receive a maximum TOP grant amount of only \$100,000. An IRO cannot assist Resident Associations that have already received TOP grants totaling \$100,000 and cannot propose to provide assistance to a given project that would result in the project exceeding its \$100,000 statutory maximum for RM/TOP funding.

ELIGIBLE ACTIVITIES

Program funds may be used for training and technical assistance that further economic lift and independence for residents. The TOP helps meet the need in many communities for economic development and supportive services. This fiscal year, HUD is emphasizing those TOP eligible activities which allow residents to obtain training that enables them to move from welfare to work. A complete list of TOP eligible activities is included in Section VII(e) of the NOFA. They can be summarized into the following types of training and technical assistance:

Social Support Needs/Life Skills such as feasibility studies to determine social service needs, social services coordination, parental skills training, health and nutrition training, youth development workshops, substance abuse counseling etc.

Qualified resident to coordinate and provide supportive services training such as service coordinator, counselors, etc.

Educational opportunities towards career development.

Job counseling and training for management-related job development/placement.

Resident Management training for residents to be employed by a Housing Authority or RMC in operations, maintenance, management and financial system.

Training for other resident owned business development/creation.

Homeownership opportunity training.

Training of Resident Association leadership including capacity building, financial training and program training. Subject matter may include community organizing, board development, leadership, assisting in the creation of an RMC, federal requirements and accessing other funding sources.

ELIGIBLE COSTS

Items that may be funded and carried out by a grantee include, but are not limited to:

Contractor/Consultant Fees.

No more than 50 percent (50%) or \$50,000, whichever is less of the grant award may be used for total contractor/consultant fees to individuals (does not apply to firms) and no more than 30% of the grant award may be used to pay one individual consultant.

Travel.

\$5,000 is a guideline (Does not apply to IROs); exceed this only with HUD Field Office approval based on evidence that additional travel is directly related to training and does not involve more than three persons per training activity.

Stipends.

No more than \$200 per participant per month of the grant award may be used for stipends for active trainees and TOP program participants to cover the reasonable costs related to participation in training and other activities in the TOP program.

Reimbursement of RA Officers Costs.

Funds may reimburse expenses incurred by Officers and Board members while performing their fiduciary duties and/or training related to official duties. The per month cap on stipends also applies to reimbursement of board members expenses.

Child Care Expenses.

Not more than two percent (2%) of the total grant amount can be used to support child care expenses (i.e., the total grant amount multiplied by .02). In all cases, the expense must be related to residents or Board Members who are involved in training-related activities associated with the development of resident management entities.

Administrative Costs

Costs necessary for implementation of grant activities, including contracting and financial management/audit. If the grantee is unable to secure a Contract Administrator and/or accountant pro bono, the costs of these services are eligible and to be included under this category. Costs for an independent audit should be budgeted separately from other costs. Other administrative costs include, but are not limited to: telephone, computer, printing, copying and sundry non-dwelling equipment such as office supplies, computer software, and furniture. A grantee must justify the need for this equipment in relationship to implementing its approved grant activities. Administrative costs are limited to 30% of the total grant amount if a Contract Administrator fee is included and 25% if the contract administrator does not charge a fee.

INELIGIBLE COSTS

Ineligible costs include the following (for a complete list, see NOFA):

Payment of wages and/or salaries to participants using supportive services and/or training programs.

Purchase or rental of land or buildings or any improvements to land or buildings.

Building materials and construction costs.

The purchase of any vehicle(s) (car, van, bus, etc.)

Entertainment and, unless approved by HUD for resident training, entertainment equipment such as T.V.s and V.C.R.s

Payment of salaries for routine project operations, such as security/maintenance except that a reasonable amount of grant funds may be to coordinate social services.

Operating capital for economic development and other non-training related costs.

GRANT TERM

All funds must be expended within 36 months after the effective date of the grant

agreement. Grant implementation progress must be documented within the first six months. Grantees must have completed all but grant closeout activities within 30 months after the effective date of the grant agreement. Grant terms may not be extended without substantial good cause (circumstances reasonably unforeseen and reasonably beyond the grantees control) and subject to HUD's approval.

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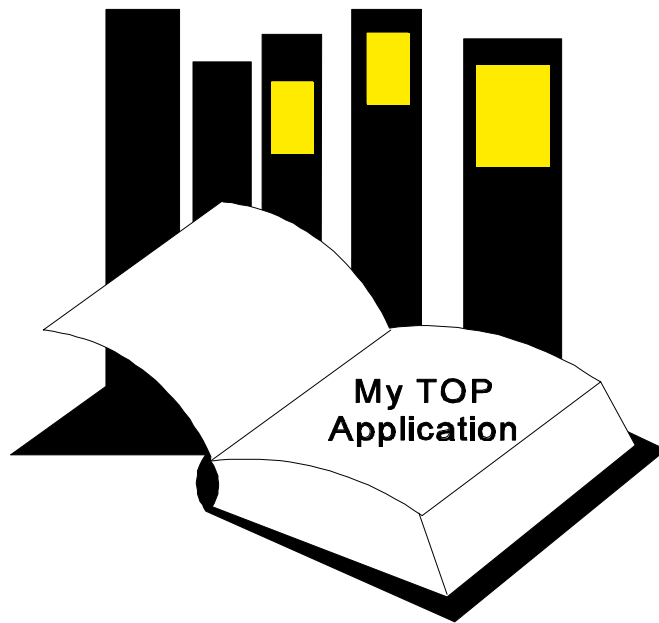
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II

COMPLETING YOUR APPLICATION



PUBLIC AND INDIAN HOUSING TENANT OPPORTUNITIES PROGRAM

APPLICATION FOR FY 1997 FUNDING

Submitted By:_____

Contact Person:_____

Telephone: ()_____

Partner Agency Name:_____

Delivered To: _____

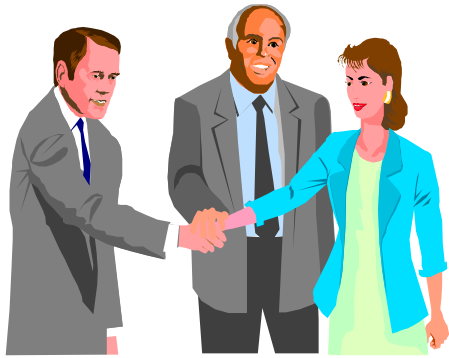
HUD Office



PLEASE USE THIS PAGE AS COVER PAGE

TAB 1

**APPLICATION CHECKLIST/
TABLE OF CONTENTS AND
BASIC APPLICATION INFORMATION**



APPLICATION TABLE OF CONTENTS/CHECKLIST

TAB 1: Table of Contents, Transmittal Letter, and Summary Information

Table of Contents

Transmittal Letter

Form 424: Application for Federal Assistance

Fact Sheet (including Program Summary)

List of Resident Associations Participating with the Intermediary Resident Association (Intermediary Resident Organizations only)

TAB 2: Needs Assessment

TAB 3: Grant Implementation Plan

Section I Summary

Section II Coordination with Housing Authority and Welfare Reform

Section III Detailed Plan - Activities, Objectives, Schedule, Budget
(includes Section III Charts A, B, C, and D)

Section IV Partnership Relationships (Includes Section IV Chart)

Section V Resident Involvement

Section VI Program Staffing and Administration

Section VII Activity Location/ Community Facilities

Section VIII Program Assessment

TAB 4: Applicant Administrator Track Record

Includes Chart and Certification

TAB 5: Certifications and Assurances

Certification of Automated Capability

Certification of Resident Council Board Election

Resolution of Agreement to Comply with HUD Terms and Conditions for
Technical Assistance

Certification Regarding Other RM/TOP Funding Received

Form 424 B

Drug-Free Workplace

Applicant/Recipient Disclosure Update Report: Form 2880

Lobbying Certification or Disclosure

TAB 6: Memoranda of Understanding and other Evidentiary Documents.

Exhibit 1: Applicant's Certificate of Incorporation and Evidence of Non-Profit
Status

Exhibit 2: Memorandum of Understanding with Housing Authority

Exhibit 3:

Exhibit 4:

Exhibit 5:

Exhibit 6:

TAB 7: Threshold and Selection Criteria Check List

SAMPLE TRANSMITTAL LETTER

Mr./Ms.
Public Housing Director
U.S. Department of Housing
and Urban Development
2624 Field Office Avenue
City, State 99999

Re: Tenant Opportunities Program Grant Application

Dear Mr./Ms. xxxxxxx

In response to the FY 1997 Tenant Opportunities Program Notice of Funding Availability (NOFA), I enclose our application to receive a technical assistance grant from the Department of Housing and Urban Development. Enclosed are the original and two additional copies of our application. Each set of materials include:

- Checklist
- Completed Fact Sheet
- Completed Standard Form 424
- Completed Form 424A
- Signed copies of Required Certification Assurances
- Narratives (and related documentation) for applicable Tabs
- Completed TOP Work Plan & Budget Worksheet

If you have questions, please call me at (999) 222-2222

Sincerely,

Name: Nevada McQueen
Title: President
Organization: Rossdale Resident Council
Street Address: 332 South Lane Street
Apartment #: 3-1
City/State/Zip: City, State 99999

Signature of Application Preparer:_____

Preparer's Address:_____

Enclosures

Application for Federal Assistance

OMB Approval No. 0348-0043

1. Type of Submission: <table style="width: 100%;"><tr><td style="width: 50%;">Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction</td><td style="width: 50%;">Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction</td></tr></table>		Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. Date Submitted		Applicant Identifier																							
		Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction																										
		3. Date Received by State		State Application Identifier																									
4. Date Received by Federal Agency		Federal Identifier																											
5. Applicant Information																													
Legal Name			Organizational Unit																										
Address (give city, county, State, and zip code):			Name, telephone number, and facsimile number of the person to be contacted on matters involving this application (give area codes)																										
6. Employer Identification Number (EIN): <table style="width: 100%;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>													7. Type of Applicant: (enter appropriate letter in box) <input style="width: 20px; height: 20px;" type="checkbox"/> <table style="width: 100%;"><tr><td>A. State</td><td>H. Independent School Dist.</td></tr><tr><td>B. County</td><td>I. State Controlled Institution of Higher Learning</td></tr><tr><td>C. Municipal</td><td>J. Private University</td></tr><tr><td>D. Township</td><td>K. Indian Tribe</td></tr><tr><td>E. Interstate</td><td>L. Individual</td></tr><tr><td>F. Intermunicipal</td><td>M. Profit Organization</td></tr><tr><td>G. Special District</td><td>N. Other (Specify):</td></tr></table>			A. State	H. Independent School Dist.	B. County	I. State Controlled Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (Specify):
A. State	H. Independent School Dist.																												
B. County	I. State Controlled Institution of Higher Learning																												
C. Municipal	J. Private University																												
D. Township	K. Indian Tribe																												
E. Interstate	L. Individual																												
F. Intermunicipal	M. Profit Organization																												
G. Special District	N. Other (Specify):																												
8. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):			9. Name of Federal Agency:																										
10. Catalog of Federal Domestic Assistance Number: <table style="width: 100%;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> Title:									11. Descriptive Title of Applicant's Project:																				
12. Areas Affected by Project (cities, counties, States, etc.):																													
13. Proposed Project:			14. Congressional Districts of:																										
Start Date		Ending Date	a. Applicant		b. Project																								
15. Estimated Funding:			16. Is Application Subject to Review by State Executive Order 12372 Process?																										
a. Federal	\$.00	a. Yes This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date: _____																										
b. Applicant	\$.00	b. No <input type="checkbox"/> Program is not covered by E.O. 12372																										
c. State	\$.00	or <input type="checkbox"/> Program has not been selected by State for review.																										
d. Local	\$.00	17. Is the Applicant Delinquent on Any Federal Debt?																										
e. Other	\$.00	<input type="checkbox"/> Yes If "Yes," explain below or attach an explanation <input type="checkbox"/> No																										
f. Program Income	\$.00																											
g. Total	\$.00																											
18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.																													
a. Typed Name of Authorized Representative			b. Title		c. Telephone Number																								
d. Signature of Authorized Representative					e. Date Signed																								

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, D.C. 20503. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry	Item	Entry
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
14.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

INSTRUCTIONS FOR STANDARD FORM SF-424

Item 1: Mark the box in Item 1 for "Application Non-Construction."

Item 2: The date you submit the application to HUD.

Items 3 and 4: Do not complete these or the requested identifiers (they are for HUD use).

Item 5: Fill in your organization's legal name and business address. Leave blank "Organizational Unit." The contact person should be someone who can be easily reached and who is very familiar with the contents of the proposal. This person is generally an officer of the resident group who is most familiar with the application.

Item 6: The resident applicant's Internal Revenue Service Employer Identification Number (EIN). (If the organization has not obtained an EIN, leave blank.)

Item 7: This should be "N." (Resident groups are nonprofit organizations.)

Item 8: Check the "New" box.

Item 9: Enter "U.S. Department of Housing and Urban Development."

Item 10: Enter 14-853 and "Public and Indian Housing Tenant Opportunities Program

Item 11: Enter the name of your program here.

Item 12: List only governmental entities, such as States, cities, Tribes, towns, townships, counties, etc., not the names of your targeted development.

Item 13: Enter the **proposed (tentative) start and end dates** for your plan. Allow 12 to 16 weeks for money to arrive after application selection. Activities funded under the program must be completed within 36 months from the date a Grant is executed.

Item 14: Do not complete.

Item 15: Under "a", "Federal," enter the amount of money you are requesting..Leave "b" through "f" blank. For "g," enter the amount you are requesting (total amount on budget).

Item 16: Check box (b).

Item 17: If you enter "yes," attach an explanation of why you are delinquent on Federal debt.

Item 18: An authorized officer of the resident organization should sign the form and include a telephone number where he or she can be easily reached.

FACT SHEET FORMAT

PLEASE MAIL A **COPY OF THIS FACT SHEET TO: THE DEPARTMENT OF HUD,
451 7TH STREET, SW, ROOM 4112, WASHINGTON, D.C. 20410**

TYPE OF GRANT (Check One)

- ☐ Basic Grant
☐ Additional Grant
☐ Intermediary Resident Organization

LENGTH OF GRANT

(Maximum 3 years):_____

APPLICANT INFORMATION

=====

Name of Applicant:_____

Contact Person_____Telephone Number:_____

Street Address:_____

City/State/Zip:_____

PHA INFORMATION(Not applicable for Intermediary Organization)

=====

Name of PHA/IHA:_____

Contact Person_____Telephone Number:_____

Street Address:_____

City/State/Zip:_____

Name of Development & Project Number:_____

(Contact your housing authority for the Project Number)

Number of Units: Family_____ Elderly_____

BUDGET INFORMATION

=====

Please list specific budget amounts that are needed for each line item. These budget line items and amounts will be included in the Line of Credit Control System (LOCCS) for drawdown purposes and must match the budget in Tab 3 Section III Chart D.

BUDGET LINE ITEM**AMOUNT**

9710 - Phase 3 Employment Readiness Training Contracts	_____
9720 - Phase 4 Economic Self-Sufficiency Training Contracts	_____
9730 - Phase 5& 6 Placement/Retention/Grant Closure Contracts	_____
9740 - Travel Costs	_____
9750 - Other Resident Costs	_____
9760 - Administrative and Other Costs	_____

ORGANIZATION BOARD INFORMATION

=====

Name of Board Member	Title	Appointment Date	Term
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Date of Last Board Election:_____

Does the organization have block captains? Yes____ No____

Does the organization have an operating committee? Yes____ No____

Is the organization incorporated? Yes____ No____

SUMMARY OF PROGRAM

Please provide a brief summary of the proposed program in this application (100 words or less) including a brief description of key program components. This narrative will be used for used for Congressional Notification and will serve as the official program summary.

[illegible]

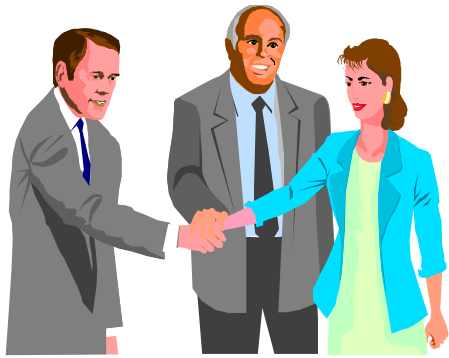
(Only Intermediary Resident Organization Applicants Need to Complete and Submit this Chart)

This image shows a full page of a document template designed for handwritten notes or essays. It features a series of evenly spaced, horizontal black lines across the entire width of the page, providing a guide for writing. The background is plain white, and there are no margins, headers, footers, or other markings present.

[illegible][illegible][illegible]

TAB 2

NEEDS ASSESSMENT



NEEDS ASSESSMENT TO BE PROVIDED BY ALL FY-97 ED/SS and TOP PROGRAM APPLICANTS

Each applicant **must** submit a **Needs Assessment Report** dealing with the proposed recipient population that contains, at minimum, sections containing statistical or survey information on the needs of the recipient population and an identification of existing resources that help meet the needs. HUD will award up to **5 points** in the application rating and ranking based on the quality and comprehensiveness of the needs assessment document. See the Notice of Funding Availability (NOFA) for specific guidance on needs assessment quality and comprehensiveness.

All FY-97 TOP Applicants **must** complete the formats on the following pages to comprehensively and succinctly provide the type of information which HUD is requesting. It is not required that every statistic required under A (see next page) be provided. The data provided in A must be sufficient to permit: a) an assessment of the needs of eligible potential participants related to the program goals, which must focus on moving residents from welfare to work; and b) development of and documentary support for a Grant Implementation Plan that meets these needs. (The data must be sufficient to ensure that 75% of the residents served by the applicants proposed program will be residents currently on welfare.) Indicate "**N/A**" for data requested that is not available or not pertinent to the clientele to be served. For example, applicants who know in advance that they intend to serve TANF/AFDC families only, may put "NA" in the entire column for "Elderly/Disabled on SSI."

Intermediate Resident Organizations applying for the Tenant Opportunity Program (TOP) funds **MUST** provide a separate **Needs Assessment** for each development to be assisted.

In the space provided at the very top of the **Needs Assessment**, all TOP applicants must write the name of the development for which the Needs Assessment was prepared..

NEEDS ASSESSMENT FOR _____ DEVELOPMENT(s)
PROPOSED FOR ASSISTANCE UNDER ED/SS or TOP PROGRAM

A DEMOGRAPHIC STATISTICS SHOWING NEED:

	Proposed Developments	TANF/AFDC Families	Elderly/Disabled on SSI
Total Number of Households			
Average Household Income			
# of Children <i>Preschool 0 - 5</i>			
# of <i>Grade School 6 - 12</i>			
# of <i>Teenagers 13 -17</i>			
# of Children <i>Total</i>			
#/% of Households w/Children	/	/	/
#/% over 65 years	/	/	/
#/% with Disabilities	/	/	/
#/% Adults with High School Diploma/GED	/	/	/
High School Dropout Rate/Number	/	/	/
#/% Heads of Household Unemployed	/	/	/
#/% Heads of Household	/	/	/
Employed Full-Time	/	/	/
Employed Part-Time	/	/	/
TOTAL	/	/	/
#/% Households on Welfare (TANF, SSI, etc)	/	/	/
#/% Adults in: <i>Job Training</i>	/	/	/
<i>Entrepreneurship Training</i>	/	/	/
<i>Community Service Program</i>	/	/	/
#/% Households with Non-Citizens Impacted by Welfare Reform	/	/	/
Other Statistical Indicators			

Provide source(s) of above statistical information (i.e., Census Tract Data; Housing Authority's Data Systems (based on residents' Forms 50058, HUD's Multifamily Tenant Certification System or other data source.)

B Briefly describe the results of any survey of residents in the target development(s) by the PHA, welfare department, or other source or provide other empirical observations (not reflected in the statistics on the previous page) regarding:

1. Resident professional, vocational and educational skills and interests,
2. Resident training and supportive service needs related to moving from “welfare-to-work” such as counseling, literacy, English language skills, day care, transportation, and accommodation to disabilities.

(No applicant needs to conduct a survey prior to application submission for the sole purpose of responding to this Needs Assessment format. If no survey information is available, write N/A.)

C Describe: 1) various employment opportunities in the community which address the range of resident educational levels, skills, and other characteristics profiled in items A and B of this needs assessment. 2) any training programs between one week and 18 months long and supportive service (such as transportation) that would be required for public housing residents and are unique to each opportunity; 3) the extent to which each opportunity provides a stable livelihood sufficient to support families with children.

D Based on the profiles of the resident population and information on job opportunities, name key segments of the resident population needing training, economic development or supportive services for family self-sufficiency or independent living for the elderly/persons with disabilities.

1. Population:
Need:

Actual or Estimated % on TANF/SSI/other type of welfare:
Source of Data or Justify Estimate:

2. Population:
Need:

Actual or Estimated % on TANF/SSI/other type of welfare:
Source of Data or Justify Estimate:

3. Population:
Need:

Actual or Estimated % on TANF/SSI/other type of welfare:
Source of Data or Justify Estimate:

4. Population:
Need:

Actual or Estimated % on TANF/SSI/other type of welfare:
Source of Data or Justify Estimate:

E Describe how the extent and nature of these needs will be affected by welfare reform. Include in this discussion a brief summary of key provisions your State or Tribal government's welfare reform plan that are applicable to the population you intend to serve. {Use the space below to provide your answer.}

F Describe the numbers and roles of:

- 1) Residents in the development employed by the Housing Authority;
- 2) Residents in the development employed by Housing Authority contractors.
- 3) Resident-owned businesses contracting with the Housing Authority.

Also, indicate the percentage (%) of:

- 1) Housing Authority employees which are residents.
- 2) Housing Authority contractors which are resident-owned or who employ more than one Housing Authority resident.
- 3) Housing Authority contract dollars which go to resident-owned businesses or to businesses which employment more than one Housing Authority residents.

G Name existing service providers on-site or near the targeted public housing development(s) that currently serve residents and contribute to meeting needs you have identified for the development. Assess the differential between what is provided and the level of need which you have identified over the next two years.

1. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider/type of service:

2. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider/type of service:

3. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider/type of service:

4. Service Provider/Resource

(Check one) On-Site_____ Not On-Site_____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this
Service Provider/type of service:

5. Service Provider/Resource

(Check one) On-Site_____ Not On-Site_____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this
Service Provider/type of service:

6. Service Provider/Resource

(Check one) On-Site_____ Not On-Site_____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this
Service Provider/type of service:



Given the needs and resources identified, and the impact of welfare reform, summarize and prioritize unmet needs for family self-sufficiency or independent living for the elderly and disabled. All TOP applicants must focus on households affected by welfare reform.

Need 1

Need 2

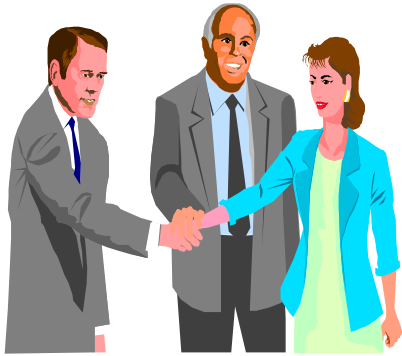
Need 3

Need 4

Need 5

TAB 3

GRANT IMPLEMENTATION PLAN



Applicant must respond to I through VIII below, using a separate section/page(s) to address each:

SECTION I. Plan Summary

Briefly summarize proposed program or service goals, activities, milestones and how levels of need identified in the Needs Assessment would be reduced. In referencing how the needs identified in the Needs Assessment would be reduced, the applicant must demonstrate and clearly state that at least 75 percent of the residents to be assisted by the proposed program are affected by welfare reform. (Intermediary Resident Organization applicants must describe briefly how the program objectives and activities will vary by activity site and should reference or cover all sites listed in the Chart of Resident Associations included in Tab 1).

Program goals/objectives and activity milestones should be desired outcomes based on numerical measures of performance. Generally, program performance objectives must represent significant achievements related to welfare-to-work and other family self-sufficiency/ personal independence goals. Specifically, for residents affected by Welfare Reform, the number of residents employed or resident businesses started are preferable to the number of residents receiving training or business start-up assistance. Examples of good program objectives are: achieving employment of 100 residents or starting 10 resident businesses. Milestones for each activity or task should lead in a realistic progression towards overall program goals and objectives

SECTION II. Coordination with Housing Authority/State or Tribal Welfare Plan.

Describe how the proposed TOP Program is consistent and coordinated with: a) the HA's efforts such as Section 3, FSS, etc. to increase resident self-sufficiency, and b) the State or Tribal Welfare Plan.

SECTION III. Detailed Description of Program Activities, Objectives, Schedule, Budget

General Instructions for Completing Section III. Describe all program activities - whether paid for by TOP grant funds or other sources - and objectives/ milestones in narrative form sequentially and in detail. This section should also include four completed charts -- Charts A, B, C, and D. The narrative combined with the charts should provide a comprehensive description of how the proposed plan provides training and services to enable the successful transition from welfare to work of non-elderly families or the achievement of "independence" for elderly residents or residents with disabilities. (To obtain maximum points in Selection Factor I, you must describe how the training and related services will be available on a flexible schedule as needed by targeted residents). Intermediary Resident Organizations should provide separate narratives and charts for each of the project sites they propose to assist.

Program activities should be planned and budgeted in sequence according to the following phases: 1) start-up; 2) procurement; 3) preemployment (literacy and life skills) training; 4) economic self-sufficiency (employment, business or Homeownership) training; 5) job placement and 6) grant closure. A more detailed discussion of these phases is provided after the following explanation of the four charts:

Explanation and Instructions for Charts A, B, C, and D. Blank formats for the four charts are provided in Attachment 1 of this Application Kit. For further guidance in completing Charts A,B and C, refer to sample completed Charts on the following pages.

In *Chart A*, the applicant is required to summarize information for each major TOP program phase including start and end dates, milestones for successful phase completion, and the role of any partner in assisting the RA and contract administrator during this phase.

Chart B breaks down each phase into major activities or tasks, their projected start and end date, and a description of any partner responsible for the activity/task. (**NOTE:** For each phase in Chart A, a separate Chart B should be completed, as appropriate.)

Chart C is a detailed budget of how TOP grant funds and funds provided by other partners will be expended over the grant period. The activities included in the budget should be listed in order of grant phase and starting date. There should be at least one activity in the budget for each grant phase. The costs listed for each line item in all activities must add up to the costs listed under those same line items in the Summary TOP Budget on the last page of the Chart.

Special Concerns for “Resident” and “Administrative” Costs in Chart C/ Requirement for Narrative

1. When budgeting for the “Resident Costs” and the “Administrative and Other Costs” line items, the applicant must apportion total costs for each line item among the various activities listed in the budget.
2. Include a narrative with Chart C which breaks out total costs for these categories into components (see below) and justifies the need for each cost in relationship to implementing proposed grant activities:
 - a) “Resident costs” should be broken out into the following components, as appropriate: stipends for

training participants (may not exceed \$200 per month per trainee without written HUD authorization); reimbursement of board member costs; travel (limited to \$5000 except for IROs), and child care (limited to 2% of grant).

b) "Administrative and Other Costs" may involve the following components: "other" costs (explain); computers; telephone system; other equipment; computer software; furniture; utilities; general office costs (printing, copying, etc.); rental or lease of a car/van/bus for residents to attend training; audit cost, and contract administrator's fee (if any). See Part One of this Application Kit under "Eligible Costs" for overall restrictions on administrative costs.

Chart D summarizes the TOP Grant budget costs into six line items: Phase 3 Contracts; Phase 4 contracts; Phase 5 and 6 contracts; total "Travel Costs," total "Other Resident Costs," and total "Administrative and Other Costs." Amounts listed for each item in Chart D must match the equivalent line items in Chart C. (One difference between Chart C and Chart D is that Chart C includes all resident costs in one line item. However, Chart D breaks out "travel costs" from other resident costs.) Chart D will provide the basis for budgeted drawdowns under the Line of Credit Control System- Voice Response System (LOCCS-VRS) if the grant is funded.

A six month deadline for Phase 1 training will leave little time to both procure a contract and complete training: Plan for any Phase 1 training, other than HUD's training, to be provided by the contract administrator or pro-bono by another partner. If you propose a Phase 1 contract, justify the feasibility of timing in the narrative and include it under Phase 3 contracts in Chart D.

Phasing of TOP Program Activities. Program activities and tasks should be grouped in the following phases, and should include the day care, transportation, and other supportive services to be provided during each phase:

Phase 1. Startup: Most of the work in this category should be resident outreach and recruitment of training program participants, because the applicant must be organized with its partnership in place prior to application submission. This phase may include:

A. Recruitment/Outreach. (Mandatory element). Describe

the outreach plan, any resident subgroups to be targeted (such as single parents on welfare without a high school diploma) and methods for recruiting, assessing, and developing individual training plans for each participant. Resident meetings for recruiting participants must be widely publicized and be used to inform all residents how they may be affected by welfare reform including general information, especially for those who may not sign up for TOP funded training, of available resources to assist them in the transition.

Consistent with the needs assessment and your summary of the TOP Program in Section I, you must target recruitment of resident subgroups to achieve the result that at least 75% of those served by TOP-funds be residents affected by welfare reform.

B. Resident Association Organizational Training. Program training for resident leaders conducted by HUD, and leadership or financial training for resident leaders. Any such training must be completed within the first six months after Grant Agreement execution. Because this will tend to preclude the time needed to procure a contract, obtain any needed training through the Housing Authority, Contract Administrator or other pro-bono partner.

C. Continued Eligibility of RA. Maintain periodic democratic elections for the resident organization pursuant to the TOP regulation (24 CFR Part 964 and 950, Subpart O), the organization's bylaws, and ongoing communication and outreach to ensure a high level of resident awareness and involvement.

Phase 2. Procure Contracts for TOP Training and Technical Assistance to Residents:

In this phase, contracts are procured for Phases III through VI, including for program evaluation and audit. This phase should be complete with all contracts in place within the first nine months after Grant Agreement execution. Tasks may include: refining the appraisal of resident training/technical assistance needs based on assessments of participants; developing Request for Proposals; organizing bid evaluation procedures; advertising the contract or purchase order; selecting contractors, and negotiating contracts.

Phase 3. Welfare-to-Work Job Readiness (Pre-employment) Training: This includes:

A. Literacy Training. GED, college (except for vocational degree/certificate programs, which should be listed in Phase IV), or other appropriate verbal/ math skills to enable residents to complete employment training, to qualify for employment and to succeed on the job.

B. Life skills Training. Mentoring, self help groups, or counseling to help trainees function in the work world, develop self-esteem, overcome substance abuse, win in the family, and get other skills critical for successful transitions from welfare-to-work and for raising youth who can advance themselves.

C. Social Service Coordination. Includes studies to determine social service needs and hiring a service coordinator or caseworker to refer participants to supportive services.

Phase 4. Economic Self-Sufficiency Training: Skills provided should bridge participant skills and interests with job or business opportunities. Include in this phase:

A. Job Development Assistance and Job Training, for example, housing management or maintenance training for residents to be employed by the housing authority.

B. College Vocational Degree/Certificate Programs, such as nursing or physical therapy, that lead directly to employment opportunities.

C. Resident-Owned Business Development Training, which should provide all type of skills needed to make the enterprise successful.

D. Homeownership training.

Phase 5. Job Placement/Employer Linkage:

Technical assistance for job searches, such as classes in resume writing and interviewing skills, is eligible for TOP funding. Also, providing lists of trainees to employers looking for qualified employees in the same field can be justified as "Social Service Coordination." On the other hand, TOP funded contacts by job counselors/ coordinators to employers on behalf of a specific applicant or payments to a employment placement agency s are not eligible for

TOP funding. However, HUD encourages applicants to find partners such as State/local welfare or economic development departments, local business groups, or nonprofits, who will fund a targeted initiative to place TOP trainees in jobs or successfully include TOP trainees in existing placement program.

Job placement efforts can benefit from federal and state incentives for hiring welfare recipients. One strategy would be to line up employer commitments in advance, for example, securing the County Health Department's participation in training design and commitment to hire qualified trainees at the development's onsite Community Health Center before initiating training programs for public housing residents to become medical technicians or nurses.

Phase 6. Grant Program Closure: Activities in this phase include:

A. Job Retention Training. This continues life-skills training -- such as mentoring and other forms of counseling -- from Phase 3 to help program participants address the "unwritten rules" of the daily work world and personal issues that can negatively affect job performance.

B. Program Evaluation/Assessment Completion. The requirements for program evaluation/ assessment are included in Section VII of this Tab 3 TOP Program Implementation Plan.

C. Program Audit. This must be performed by an independent public accountant (IPA) that is independent of the TOP partnership. Some grantees may be required to have audits performed on an annual basis (see 24 CFR Part 45).

D. Program Closeout

TOP PROGRAM PLAN SUMMARY

<input type="checkbox"/> #	PHASE	START DATE	MILESTONES	PARTNER ACTIVITY
1.	Startup - Organizational development (community organizing, HUD & financial training); activity center renovation; resident outreach, recruitment and assessment.	11/1/97 - 4/30/98	To marshal resources and recruit 60 residents for welfare-to-work program	Ourtown Comm. Development Corporation- training; Housing Authority- activity center renovation; Ourtown College- outreach & assessment
2.	Procurement of Welfare to Work Training Contracts (Life skills, Job and Business skills training)	1/15/98 - 4/30/98	To design Statement of Work and conduct procurement to obtain superb training, reasonable cost	Contract Administrator (Housing Authority) to take lead under direction of Resident Association
3.	Welfare to Work Readiness Training - literacy training (GED etc) and group or one-on-one life skills (mentoring, family counseling and referrals to support services)	4/30/98- 5/31/00	To provide math, verbal, and personal skills to support training and employment for 60 residents.	Contract for GED training; Ourtown College will provide other literacy; FCS and AAMA to do life skills training/train mentors
4.	Economic Self-Sufficiency Training - (a) Health technician training for 30 residents; (b) Microenterprise and Housing Management training for 30 residents.	10/1/98- 5/31/00	To train 60 participants for full-time employment at family sustaining wages	Procure contract for Resident Nurse/Health Coordinator and Microenterprise/Housing Management Training
5	Job Placement - Not to be paid for with TOP funds. Partners will provide.	5/1/99- 5/31/00	To move 50 trainee graduates to full-time jobs or businesses at sustaining incomes	Ourtown Hospital will employ trained health technicians. PIC to assist with Housing Mgt. business startup
6	Closure - Employment Maintenance Training (continued mentoring and counseling); grant audit; grant closeout, and evaluation.	5/31/00 - 10/31/00	To assist 50 residents retain employment and to evaluate and closeout grant	Will contract for employment maintenance trng. Ourtown Community College will conduct evaluation

Plan Goal/Objective: To enable 50 residents to move from welfare to full-time employment at sustaining incomes.

Sample Completed Chart Tab 3 Section III Chart B: Sample Completed Chart
TOP PROGRAM ACTIVITY BREAKOUT
for Phase 1. Start-up

<input type="checkbox"/>	ACTIVITY/TASK	START DATE	ORGANIZATIONS
A	Attend HUD training		Resident Association leaders and Housing Authority (contract administrator) staff.
B	Community Organizing Training	11/1/97 - 1/1/98	Pro-Bono training of RA Board members and Block Captains by Ourtown Community Development Corporation
C	Financial Management Training	11/1/97 - 1/1/98	Housing Authority, as Contract Administrator, to train RA Board Members and other volunteers who will likely incur or assist in tracking expenditures.
D	Outreach/ Recruitment - Produce, deliver and post brochures and notices. Conduct All Tenant meetings on impact of Welfare Reform, opportunities and requirements of TOP program. Provide information & conduct interviews as appropriate.	11/1/97 - 2/1/98	Resident Association with assistance of Housing Authority
E	Participant Selection and Assessment- Determine interests; literacy, technical and life skills levels, and training needs of participants. Coordinate with Welfare Department to establish individual Training Plans for each participant.	1/97 - 4/1/98	Resident Association with partnership/ assistance of Housing Authority and Ourtown Community College.
F	Activity Center Renovation - No TOP funds involved.	11/1/97 - 4/1/98	Housing Authority to manage and pay for project with modernization funds. Resident Association to participate in designing and selecting services to be housed.

Milestone: To activate resources and recruit 60 residents on TANF for employment related training and placement.

CHART C: TOP BUDGET

#	PHASE/ACTIVITY	BUDGET ITEM	TOP	NON TOP	TOTAL
1.	Startup- Organizational Devt.- HUD training, Community Organizing and financial training.	TOP Resident Expenses	\$1,000		
		Administrative and other Costs	\$1,000		
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name: Ourtown CDC		\$5,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	\$2,000	\$5,000	\$7,000
2	Startup- Outreach, Marketing and assess- ment.	TOP Resident Expenses	\$1,000		
		Administrative and other Costs	\$2,000		
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS		\$10,000	
		PARTNER 1 Name: Ourtown Comm. College		\$20,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	\$3,000	\$30,000	\$33,000
3	Procurement - Planning, Statement of Work, Competition for Three Contracts	TOP Resident Expenses			
		Administrative and other Costs	\$1,000		
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			

	TOTAL COSTS	\$1,000	\$0	\$1,000
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#	ACTIVITY	BUDGET ITEM	TOP GRANT COST	NON TOP COST	TOTAL COST
3	Welfare to Work Readiness (Pre-employment) Training- Life skills Support Groups& 1 on 1	TOP Resident Expenses	\$0		
		Administrative and other Costs	\$2,000		
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS		\$20,000	
		PARTNER 1 Name: Family Counseling Service		20,000	
		PARTNER 2 Name: African Amer. Men Assn		20000	
		PARTNER 3 Name:			
		TOTAL COSTS	\$2,000	\$60,000	\$62,000
3	Welfare to Work Readiness (Pre-Employment) Training- Literacy	TOP Resident Expenses	\$2,000		
		Administrative and other Costs	\$2,000		
		Contract #1 Purpose: GED Training	\$15,000		
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name: Outtown Community Coll.		\$10,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	\$19,000	\$10,000	\$29,000
4	Job/Entrepreneurial Training- Health Technician Training	TOP Resident Expenses	\$4,000		
		Administrative and other Costs	\$5,000		
		Contract #1 Purpose: Resident Hlth/Nurse Trng	\$22,000		
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	\$31,000	\$0	\$31,000

4	Job/Entrepreneurial Training - Housing Mgt/Maintenance	TOP Resident Expenses	\$4,000		
		Administrative and other Costs	6000		
		Contract #1 Purpose MicroEnterprise Training	22000		
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	\$32,000	\$0	\$32,000
5	Job Placement/ Business Startup - No TOP funds Involved	TOP Resident Expenses			
		Administrative and other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS		\$5,000	
		PARTNER 1 Name: Ourtown Hospital		\$10,000	
		PARTNER 2 Name: Private Industry Council		\$20,000	
		PARTNER 3 Name:			
		TOTAL COSTS	\$0	\$35,000	\$35,000
6	Closure- Post Employ- ment Counseling, Final Audit, Evalua- tion, Closeout	TOP Resident Expenses			
		Administrative and other Costs	5000		
		Contract #1 Purpose: Support Group Ldrship	5000		
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name: Ourtown Community Coll		\$10,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	\$10,000	\$10,000	\$20,000

CHART C, CONTINUED: OVERALL TOP BUDGET

		BUDGET ITEM	TOP GRANT COST	NON GRANT COST	TOTAL COST
		TOP Resident Expenses	\$12,000		
		Administrative and other Costs	\$24,000		
		CONTRACT	\$64,000		
		HOUSING AUTHORITY		\$35,000	
		PARTNER FUNDS		\$115,000	
		TOTAL COSTS	\$100,000	\$150,000	\$250,000

SECTION IV. Partnerships. All Basic and Additional TOP grant applicants must document the partnership with the Housing Authority, the contract administrator, if different from the Housing Authority, and any other partner(s). At time of application submission, all Basic and Additional TOP grant applicants must have selected a qualified and competent Contract Administrator to carry out financial management, procurement, reporting to HUD, and other concerns on behalf of and under the direction of the Resident Association unless HUD or an Independent Auditor has determined during the latest fiscal year completed, that the applicant has a financial management system and a procurement system that both meet the requirements of 24 CFR Part 84. In addition, the applicant will want to develop as many partners as possible from the welfare department, colleges, community service agencies, and business organizations to provide additional resources to the welfare-to-work effort.

In most cases, the contract administrator should be the Housing Authority. Troubled housing authorities may not serve as contract administrator. If the housing authority is not a suitable contract administrator, the Resident Association should seek the services of a competent and qualified nonprofit, such as a local Community Development Corporation who, like most Housing Authorities, will provide the service pro-bono. If the applicant must pay for a contract administrator's services, the written agreement with the contract administrator must stipulate that the applicant is not obligated to pay the administrator compensation for services rendered in advance of the HUD selection and a valid Grant Agreement with HUD. Further, any fee that the applicant must pay for a contract administrator's services must be tracked as an "administrative cost". HUD limits administrative costs to 30 percent of the grant if the applicant must pay for the contract administrator's services. If the administrator's services are pro-bono, only 25 percent of the grant can be used for administrative costs. (For a list of costs included in the "administrative" category and subject to the restriction, see Part One of this Application Kit under Eligible Costs.)

The applicant also has the option to designate one entity to perform financial management and another entity to carry out procurement and other grant administration functions. Any fee charged by either or both parties must fall within the 30 percent restriction cited above.

A contract administrator and/or financial management entity other than a Housing Authority must be experienced in performing any function which the Applicant designates it to perform and must have had its work reviewed and found adequate by an independent third party entity. Evidence of such review findings may be an IPA audit, a government monitoring review, or a letter of reference from a previous client who is an official of a unit of government or established non-profit agency. Documentation is preferable if it is strong in addressing the proposed contract administrators competency and reliability.

For Intermediary Resident Organizations, describe the applicant's partnership with all the Housing Authorities and Resident Associations for the developments you propose to assist.

The partnership must be documented as follows:

a. Provide a narrative in this section which includes the information below:

1. The division of responsibilities between the applicant and its partners and how the applicant will coordinate with its partners to ensure program success and fulfillment of all partner commitments (consistent with a detailed description of the TOP program management structure in Section V of the Grant Implementation Plan). Although the contract administrator must have a strong role, the applicant if selected must remain responsible for all grant activities including overseeing the contract administrator;
2. The extent to which the partnership as a whole addresses a broader range of resident needs: the extent to which the addition of the partners provides the ability to meet needs more cost effectively or efficiently than the applicant or its partners could achieve individually without forming the partnership; and
3. Detailed information on each partner and their contribution(s) to the partnership including the following:
 - i) The role and responsibilities of the partner relative to the proposed TOP.
 - ii) The amount and type of resources and services that the partner firmly commits to contribute to the grant program, including in-kind contributions of personnel, material, equipment, building or lease, the duration of this commitment of services and resources and a description of how resources and/or services committed by the partner is effectively directed to support the proposed grant activities and other resident self-sufficiency efforts.
 - iii) The exhibit number in Tab 6 for the Memorandum of Understanding, partnership agreement or other documentation of the partner's firm commitment
 - iv) A description of the partner's expertise related to its role in the proposed program activities and the appropriateness of such expertise in fulfilling its role.

b. Complete the Section IV Resource Chart which describes program resources. (The blank form for this chart is provided in Attachment 1.) All resources and amounts listed in the charts must match the information for each partner provided in the Section IV narrative. In valuing volunteer time or services in the chart, use the following guidelines:

- 1) The value of volunteer time and services shall be computed at a rate of \$5.00 per hour except that the value of volunteer time and service involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the TOP activity is located.
- 2) The value of any donated material equipment, building or lease shall

be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated. The documentation shall be not more than one-year old and shall be taken from the community where the TOP activity is located.

c. All applicants, with the exception of an IRO applicant, must provide evidence of each partner's firm commitment to fulfill its partnership responsibilities as a signed document in Tab 6. For Housing Authorities, this commitment must be in the form of a Memorandum of Understanding (MOU) with the Resident Association executed by both parties; for contract administrators other than Housing Authorities, this should be in the form of a Partnership Agreement. A sample MOU for a Housing Authority that is undertaking the role of a contract administrator with respect to procurement and resident organization training (but not for financial management) and a sample Partnership Agreement with a contract administrator who is not a Housing Authority, are included behind Tab 6 of this Application Kit. If using either of these documents as models, the applicant must carefully adjust the provisions of the document to match the roles and relationships which are deemed most appropriate for each party.

The following information must be included in all MOUs or other commitment documents.

- 1) The role and responsibilities of the partner relative to the proposed TOP Program;
- 2) The amount and type of resources and services that the partner firmly commits to contribute to the grant program, including in-kind contributions of personnel, material, equipment, building or lease and the duration of this commitment of services and resources.
- 3) How the partner will coordinate with the applicant and other services/resources to be provided under the program.
- 4) The roles, responsibilities, and resources to be provided must be firmly committed without any contingency other than HUD's funding of the TOP application.
- 5) For MOUs/MOAs, the conditions upon which the agreement may be terminated by either party or amended. For Partnership Agreements with Contract Administrators, the conditions under which the RA may terminate the agreement based on nonperformance or other concerns.
- 6) A signature, dated this year, of an authorized representative of the partner organization and, in the case of an MOU/MOA, of the TOP applicant.

The requirement to provide these firm commitments does not apply to IROs. However, an IRO will receive points under Selection Factor 3(i) by

demonstrating the extent to which the HA for each of the project sites the IRO proposes to assist have agreed to support and coordinate their efforts with those of the IRO. To demonstrate such support, IRO's must include in Tab 6 a letter of support from each HA that owns the project sites to be assisted.

SECTION V. Resident Involvement. Describe the involvement of affected residents in the planning phase of the program (prior to application submission) and the Resident Association's commitment to provide continued resident involvement in grant implementation (after the grant is received if funded). For a high score in Selection Factor 3 (iii), information on prior resident involvement must be sufficiently specific and quantifiable to permit HUD verification and the Resident Association's commitment must be in the form of a resolution which, for maximum points, shall include signatures from the resident community. Indicate the Exhibit number in Tab 6 of any such resolution.

An IRO applicant should describe how it will coordinate its activities with the RAs for each site. For higher points on Selection Factor 3 (iii), describe preliminary preparations already made by each site to take advantage of the proposed assistance, such as the RA for a proposed site having organized itself, selected its leadership, and obtained basic training from the HA or community organizations.

SECTION VI. Program Staffing and Administration.

a. Program Staffing. The application's score in Selection Subfactor (1)(iii) will depend on your response to this section: Include a narrative description of the applicant's and contract administrator's proposed staffing (paid or volunteer) in support of the program and proposed coordination among and roles of service providers; a completed Program Staffing Chart (see blank form in Attachment 1); an organization chart (HUD is not providing a standard format for this chart); staff position descriptions, and resumes, as available. Information should include:

- 1) a narrative explanation of how the staffing plan is structured to accomplish the program's objectives;
- 2) the names of a Resident Association leader and a Contract Administrator's staff person who will share primary responsibility for effective overall coordination of the program on a day to day basis and what percentage of each person's time (based on a 40 hour work schedule) will be committed to this responsibility;
- 3) names of responsible Resident leaders and contract administrator staff persons, position descriptions, proposed roles in implementing the TOP program, relevant skills, and percentage of time allocated to the program,.
- 4) a comprehensive description of who, whether applicant, contract administrator, contractor, Housing Authority or other designated partner staff, will provide training and related services and how the services will be delivered. (Some or all of this information may have been provided in Sections III or IV of the Grant Implementation Plan but must be provided here to ensure full credit in HUD's scoring of Selection Subfactor (1)(iii))

b. Program Administration. Describe the management structure of the proposed TOP program. In order to receive a high score in Selection Subfactors (2)(i) and 2(ii), an applicant must provide a comprehensive description of:

- 1) The lines of authority and accountability among all components of the proposed program including: a) how the Resident Association will maintain fundamental authority and responsibility for all grant functions while delegating administrative functions to, and receiving technical assistance and guidance from the contract administrator; b) oversight exercised by the Resident Association and the Contract Administrator over one another and over the other contractors and partners.
- 2) Fiscal management structure, including but not limited to budgeting, fiscal controls and accounting . Clearly explain the staff responsible for fiscal management and the processes and timetable for implementation during the proposed grant period.

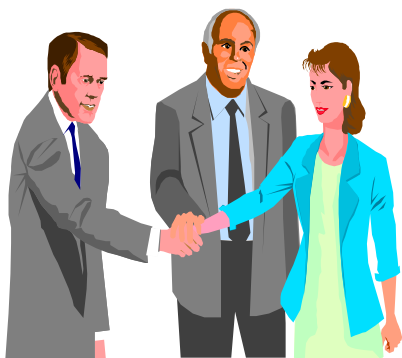
SECTION VII. Activity Location/ Community Facilities. Provide a description of the location of the training or other activities. Describe the location of the facility in relation to the development to be served, the days and hours of operation, how the transportation needs to the facility will be addressed and how the facility will be accessible to persons with disabilities. A preponderance of program activities must be administered at community facilities in accordance with the following criteria:

- a. The facility(ies) must be located in or within easy accessibility of the property represented by the RA within nine months of the grant award.
- b. If units need to be converted from dwelling use into a community facility or the facility is to be constructed, describe in this section your plan for the conversion or construction that provides adequate resourcing and a time schedule.
- c. The application must include some form of use agreement with the owner or operator of the site (if the Housing Authority operates the site, the MOU may serve as the use agreement) for a duration of not less than two years. List the item number for the use agreement in Tab 6 of the application.
- d. Describe in this section other services to be offered at the facility (for example, education, employment readiness, child care and other appropriate services) to support resident efforts.
- e. For program participants living in dispersed rural housing, describe transportation access to the community facilities. If transportation access is currently inadequate, provide a partner's firm commitment (conditional only on HUD's selection of the TOP application for funding) to provide transportation services during the grant period in Tab 6.
- f. Describe how the facility(ies) will be accessible to persons with disabilities.

SECTION VIII Program Assessment/ Evaluation. Provide the plan to evaluate the success of the proposed TOP, both during program implementation and at program completion. Describe who will perform the evaluation (applicant, contract administrator, other partner, or contractor to be procured), applicant/contract administrator staff to be assigned to work with the evaluator, performance measures to be used (should be identical to performance measures used in establishing program objectives), and the methodology the evaluator will use to determine how and why the program did or did not succeed in achieving its objectives. Methodologies for analyzing program performance include, but are not limited to, achievement of goals and objectives, case studies, observation, surveys and interviews. Maximum points can not be awarded under Selection Subfactor 2(iv), unless the applicant's evaluation plan includes how the program will use the ongoing evaluation for mid-term reviews of changes to the Implementation Plan that may be needed to achieve program objectives within the 3-year period.

TAB 4

APPLICANT/ADMINISTRATOR TRACK RECORD



This Tab includes information related to the applicant's and contract administrator's past performance. To permit HUD to identify the application's eligibility under Threshold 7 (Program Compliance) and Threshold 9 (Audit Findings and Equal Opportunity compliance), complete and sign the attached Tab 4 certification.

To permit HUD to score your application with respect to the Selection Factor (2)(iv), Applicant/Administrator Track Record, complete the Tab 4 Chart, the blank format of which is included in Attachment 1 of this kit. A sample completed chart is included in this section. The form is designed to measure the applicant's and contract administrator's prior performance in carrying out grant programs designed to assist residents in increasing their self-sufficiency, security, or independence. (Programs in this category include, but are not limited to: the Family Investment Center Program; the Youth Apprenticeship Program; the Apprenticeship demonstration in the Construction Trades Program, the Urban Youth Corps Program, the HOPE 1, 2, and 3 Programs, Section 8 Family Self-Sufficiency, the Public Housing or Section 202/8 Service Coordinator Programs, the Public Housing and Assisted Housing Drug Elimination Programs, Youthbuild, the Youth Sports Program, the Tenant Opportunities Program, housing counseling, the HUD Nehemiah program, limited equity housing cooperative conversions, and resident services/ empowerment programs sponsored by State or Local Governments or private foundations.)

If the contract administrator and/or financial manager is not the Housing Authority, also provide evidence that work it has completed similar to its proposed functions for the TOP grant has been reviewed and found sufficient by an independent third party over the previous 18 months. Evidence of such review findings may be an IPA audit, a government monitoring review, or a letter of reference from an official of a previous client who is a unit of government or established non-profit agency. Documentation is preferable if it is strong in addressing the proposed contract administrator's competency and reliability. Include this documentation behind the Tab 4 cover sheet, the Tab 4 certification, and the Tab 4 chart.

CERTIFICATION

I certify that my responses to the following three questions are correct:

1. Is there any current HUD declaration of default against the applicant for failure to meet any contractual obligation? YES or NO (please circle one). (Explain any "YES" response)
2. Are there any unresolved HUD Office of Inspector General Findings against the applicant? YES or NO (please circle one). (Explain any "YES" response)
3. Are there any unresolved HUD Fair Housing and Equal Opportunity monitoring review findings or HUD State/Area Office management review findings against the applicant? YES or NO (please circle one). (Explain any "YES" response)

Signed this _____ day of _____, 1997

by: _____
RA Authorized Representative



TAB 4 CHART - APPLICANT/ADMINISTRATOR TRACK RECORD

Sample Completed Chart

FOR Ourtown Housing Authority (Contract Administrator)

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	% Complete	Major Goal #2	% Complete
Youth Apprenticeship Program	PA99YAP 0020394	100%	75%	To enable 30 resident youth to complete community service programs.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99DEP 00306095	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments.	57

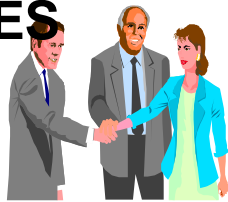
Sample Completed Chart

Sample Completed Chart

Sample Completed Chart

TAB 5

CERTIFICATIONS AND ASSURANCES



CERTIFICATION THAT APPLICANT HAS AUTOMATED CAPABILITY

As an authorized representative of the applicant I certify that the program will include access to on-line computer/Internet capability as a means for the applicant to communicate with HUD on grant matters. I certify that if such access/capability does not exist at this time, that it will be operational within three months of HUD's transmittal of a Grant Agreement to the applicant organization, if the application is selected.

Signed this _____ day of _____, 1997

By: _____

Position: _____

Name of Resident Association or Intermediary Organization:



CERTIFICATION OF RESIDENT COUNCIL BOARD ELECTION

I certify that _____
(name of organization)

located in _____ has duly elected
(city & state)

all of the Resident Council Officers as required by the U.S. Department of
Housing and Urban Development, 24 Code of Federal Regulations, Part 964.

Date of Resident Council Board Election:

_____.

(Name and Title of Certifying Housing Authority Official)

(Signature) (Date)

(Name and Title of Independent Third-Party Monitor)

(Signature) (Date)

NOTARY (Signature & Date)

RESOLUTION OF AGREEMENT TO COMPLY WITH HUD TERMS AND CONDITIONS FOR TECHNICAL ASSISTANCE

Whereas, the _____
(name of organization)

is applying for TOP/TAG funds from the Department of Housing and Urban Development (HUD) to further its objectives in representing the residents of the _____ development.

And Whereas, the undersigned as the governing body of the _____
_____ representing the
(name of organization)

residents of said development have voted to adopt, and do adopt, as evidenced by their signatures affixed hereunder, the following resolution.

Resolved, that the _____
(name of organization)

agrees to comply with all terms and conditions expressed in HUD's Notice announcing applications for technical assistance, applicable provisions of 24 CFR 964 and 24 CFR 950 Subpart O, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by HUD and agreed to in writing by a duly authorized representative of this organization pertaining to the technical assistance provided by HUD.

Witnessed:

(typed name & title)

(signature)

(typed name & title)

(signature)

CERTIFICATION REGARDING OTHER RM/TOP FUNDING RECEIVED

Please list below any prior year RM/TOP funding (i.e., Mini, Basic, Additional, City-wide or Jurisdiction-wide grant). Also list any funds an IRO has received to assist your organization.

FUNDING SOURCE(S)

<u>NAME OF PROGRAM</u>	<u>NAME OF ORGANIZATION</u>	<u>YEAR FUNDED AND AMOUNT</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

(Resident Organization's Name)

(Authorized Official Signature)

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, D.C. 20503. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air)

Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Certification for a Drug-Free Workplace

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

OMB No. 2577-0044 (exp. 12/31/99)
OMB No. 2577-0157 (exp. 12/31/99)

The public reporting burden for this collection of information is estimated to average 0.25 hours per response, including the time for gathering the information, completing and reviewing the collection of information, completing HUD forms, and reporting. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden to the Reports Management Officer, Paperwork Reduction Project (2577-0044 and 0157), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

Do not send this form to the above address.

This collection of information requires that each Housing Authority (HA) certify to the provisions of a drug-free workplace as a condition of assistance. Responses to the collection are required by the Drug-Free Workplace Act of 1988. The information requested does not lend itself to confidentiality.

HA Name:

Program/Activity Receiving Federal Grant Funding: (mark one)

☐ Operating Subsidy ☐ Sec.23 Leased Housing ☐ Development ☐ CIAP ☐ CGP ☐ HOPE VI ☐ Other (specify)

If Operating Subsidy or Section 23,
enter the HA's Fiscal Year Ending date
in which funds are expected to be obligated :

If Development, CIAP, CGP, HOPE VI, or
Other, enter the Federal Fiscal Year in
which the funds are expected to be reserved :

Acting on behalf of the above named HA as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

1. I certify that the above named HA will provide a drug-free workplace by:

- a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the HA's workplace and specifying the actions that will be taken against employees for violation of such prohibition.
- b. Establishing a drug-free awareness program to inform employees about the following:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The HA's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- c. Making it a requirement that each employee of the HA be given a copy of the statement required by paragraph a.;
- d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment with the HA, the employee will do the following:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- e. Notifying the HUD Field Office within ten days after receiving notice under subparagraph d. (2) from an employee or otherwise receiving actual notice of such conviction;
- f. Taking one of the following actions within 30 days of receiving notice under subparagraph d. (2) with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The HA shall list in the space provided below the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. (If more space is needed, attach additional page(s) the same size as this form. Identify each sheet with the HA name and address and the program/activity receiving grant funding.)

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name, Title & Signature of Authorized HA Official & Date:

X

Applicant/Recipient Disclosure/Update Report

**U.S. Department of Housing
and Urban Development**
Office of Ethics

OMB Approval No. 2510-0011 (exp. 3/31/98)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information

Indicate whether this is an Initial Report ☐

or an Update Report

1. Applicant/Recipient Name, Address, and Phone (include area code)

Social Security Number or Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received

4. HUD Program

5. Amount Requested/Received	
\$	

Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) _____ Date _____

2. Is this application for a specific housing project that involves other government assistance?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) _____ Date _____

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.
I hereby certify that this information is true. (Signature) _____ Date _____

[illegible]

I hereby certify that this information is true. (Signature) _____ Date _____

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

Signature	Date
-----------	------

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2510-0011), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Do not send this form to the above address.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions (See Note 1 on last page.)

I. Overview. Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

A. Applicant disclosure (initial) reports: General. All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources.

Applicants subject to Subpart C must make the following disclosures:

- Assistance from other government sources in connection with the project,
- The financial interests of persons in the project,
- The sources of funds to be made available for the project, and
- The uses to which the funds are to be put.

B. Update reports: General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

C. Applicant disclosure reports: Specific guidance. The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. **Nature of Assistance.** The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. **Dollar Threshold.** The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) **Note:** There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

D. Update reports: Specific guidance. During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.
3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by \$250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:
- a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses (whichever is lower).

- b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

- c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by \$250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.
3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions¹ and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

- (1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- (2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Section I.D.1., 2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. Part V. Report on Sources and Uses of Funds. This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

General Instructions — sources of funds

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as “total structure” to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO

Architect's fee — design
Architect's fee — supervision
Bond premium
Builder's general overhead
Builder's profit
Construction interest
Consultant fee
Contingency Reserve
Cost certification audit fee
FHA examination fee
FHA inspection fee
FHA MIP
Financing fee
FNMA / GNMA fee
General requirements
Insurance
Legal — construction
Legal — organization
Other fees
Purchase price
Supplemental management fund
Taxes
Title and recording
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve
Total land improvement
Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses
Bridge loan interest
Development fee
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve

Footnotes:

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated periodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

APPLICANT'S CERTIFICATION REGARDING LOBBYING ☐

Sign either the Certification Regarding Lobbying or the Standard Form-LLL, Disclosure of Lobbying Activities and include it in the application. Section 319 of Public Law 101-121 prohibits recipients of Federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government. A common rule governing the restrictions on lobbying was published as an interim rule on February 26, 1990 (55 FR 6736) and supplemented by a Notice published June 15, 1990 (55 FR 24540). The rule requires applicants for and recipients of assistance exceeding \$100,000 to certify that no Federal Funds have been or will be spend on lobbying activities in connection with the assistance. The rule also requires disclosures from applicants and recipients if nonappropriated funds have been spent or committed for lobbying activities if those activities would be prohibited if paid with appropriated funds. The law provides substantial monetary penalties for failure to file the required certification or disclosure. This does not apply to Indian tribes of IHAs, tribal organizations, or any other Indian organization with respect to expenditures specifically permitted by other Federal law that are not covered by the definition of person in 24 CFR Part 87.

Attached are the appropriate certification and the Standard Form-LLL.

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATION AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of the Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering in to of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this _____ day of _____ 199__

By _____

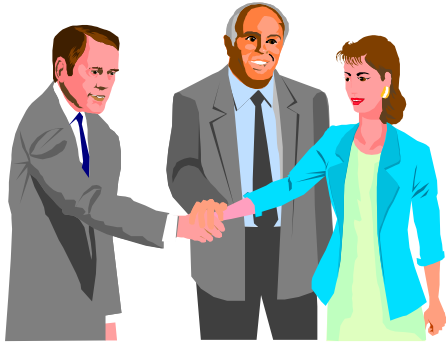
Signature

(Typed or Printed Name)

(Title, if any)

TAB 6

MEMORANDUM OF UNDERSTANDING AND OTHER COMMITMENT DOCUMENTS



This Tab must include all Memoranda of Understandings/Agreement and other documents evidencing firm commitments to provide resources or assume responsibilities which the applicant has obtained in response to HUD requirements for application threshold eligibility or rating and ranking points under various selection factors. Examples of documents to be included are the Memorandum of Understanding between the Housing Authority(s) and the Resident Association or Intermediary Resident Organization, a Partnership Agreement between the Resident Association and any contract administrator who is not a Housing Authority, any use agreements required for community facilities where grant activities will occur, and a resolution from the Resident Association committing to widely involve project residents in grant implementation.

This Tab must also include evidence that the applicant is an incorporated entity within a State and evidence that it has received or applied for designation by the United States Internal Revenue Service (IRS) as a 501(c)3 or 501(c)4 nonprofit corporation. Evidence of incorporation shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of impending or current nonprofit status shall be a copy of a recent request for 501(c) status or a copy of the IRS's designation.

This Tab should include the cover page (the page previous to this one), a table of contents which lists each document by sequential Exhibit Number(s), and then the commitment/evidentiary documents, ordered and labeled by Exhibit Number. Exhibit 1 should be the Resident Association's Certificate of Incorporation and evidence of 501(c) status. Exhibit 2 should be the Memorandum of Understanding with the Housing Authority. Exhibit 3 should be the Partnership Agreement with any Contract Administrator who is not the Housing Authority, if applicable. Other documents should follow in sequence, as appropriate.

SAMPLE MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding hereinafter referred to as "MOU" is made and entered into by and between the _____ Housing Authority (HA) , a governmental entity corporation, hereinafter referred to as , and the Resident Association of _____ a resident community organization, hereinafter referred to as "RA". The parties hereto agree as follows:

I. REPRESENTATIONS

WHEREAS, the RA is applying for Tenant Opportunities Program (TOP) funds from the Department of Housing and Urban Development (HUD) to further its objectives in representing the residents of _____

WHEREAS, the RA agrees to comply with all terms and conditions expressed in HUD's Notice announcing applications for technical assistance, applicable provisions of 24 CFR 964 and 24 CFR 950 Subpart O, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by HA and agreed to in writing by a duly authorized representative of these organizations pertaining to the technical assistance provided.

WHEREAS, the HA is supporting the application of the RA for the TOP grant and agrees to provide technical assistance to the RA in accordance with HUD's regulations.

WHEREAS, pursuant to the commitment made by the HA, this MOU is executed outlining the type, scope and extent of the services which will be provided by the HA to the RA if the grant is funded. If the grant is not funded, this agreement will be null and void.

Both parties herein fully understand and agree to the following roles and responsibilities:

1. The HA will provide technical assistance in preparing Requests for Proposals to procure professional services, advertising, and/or award of contracts, advertising and selection of the vendor to award the contract, and in drafting the actual contract.
2. The HA will render the technical assistance in compliance with the Procurement Policy, the Procurement Law, and the laws of the State and Local government.
3. The HA will provide on-the-job training and in-kind support to the RA

related to the activities of the TOP, if requested by the RA.

4. The HA understands the goals of the RA under the TOP and will make every effort, within the budgetary allowance and solicitation of resources and services from the community, to achieve the goals of the RA.
5. The HA agrees to provide to the RA information on relevant training and/or seminars in regards to the TOP.
6. The HA agrees to provide transportation to the RA for all meetings pertaining to the TOP.
7. The HA agrees to promote the establishment of any resident businesses establish under the TOP.
8. The HA agrees to allow its staff persons to provide technical assistance on any issues pertaining to the TOP.
9. The HA agrees to provide the RA with an office area and access to any necessary office equipment to conduct the affairs related to the TOP.
10. The HA agrees to monitor all RA elections, as required by the regulations provided by HUD.
11. The HA agrees to assist the RA in coordinating and monitoring the work of other contractors and partners who are providing program training and other assistance.
12. The RA agrees to cooperate with the HA in improving the conditions of their community by recruiting residents on a continuous basis in relation to the TOP.
13. The RA agrees to only include public housing residents legally residing in their development(s) in implementing the TOP Activities.
14. The RA agrees to hold fair and frequent elections for the resident organization board members, as stated in HUD's 24 CFR 964.130 (a)(1).
15. The RA has the right to conduct their own elections; however, the RA agrees to allow the HA to monitor the election process and to act as the local arbitrator; if needed, to settle any and all disputes.
16. The RA agrees to develop and adhere to official by-laws.

-
17. The RA agrees to provide the HA with a copy of its by-laws.
 18. The RA agrees to maintain a viable resident organization representative of the residents who elected its officers and Board of Directors, which may include receiving official recognition from the HA and HUD to function as a RA pursuant to the HUD Regulations.
 19. The RA agrees to work in a cooperative manner with HA and HUD.
 20. The RA agrees to inform residents of their rights and responsibilities to participate in economic development programs under the TOP.
 21. The RA Board Members agree to monitor all administrative tasks related to the TOP grant.
 22. The RA agrees to inform and recruit public housing residents on a continuous basis, to participate in the TOP activities.
 23. The RA Board Members agree to participate in the TOP activities.
 24. The RA agrees to maintain financial control by becoming familiar with accrual basis accounting procedures to maintain good financial management along with the financial management firm.
 25. The RA agrees to participate in all training provided to enhance the performance to their resident organization; such as Leadership development, Procurement Procedures, Accounting, Computer Skills, Business Management, Marketing, etc..

WITNESS OUR HANDS EFFECTIVE _____

Resident Association:

Housing Authority:

RA President

Executive Director

Date

Date

SAMPLE CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT

This partnership agreement is made and entered into by and between the Contract Administrator, (e.g., the local HA or other nonprofit corporations), hereinafter referred to as "CA", and the Resident Council of _____ a resident community association, hereinafter referred to as "RA".

WHEREAS, the RA is submitting this proposal for a Tenant Opportunities Program Technical Assistance Grant to further its objectives in representing the residents of _____.

WHEREAS, the RA agrees to comply with all terms and conditions expressed in HUD's NOFA, applicable provisions of 24 CFR 964 and 950, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by the CA and agreed to in writing by a duly authorized representative of the RA pertaining to the technical assistance provided.

WHEREAS, the CA supports the RA's TOP application and agrees to provide technical assistance to the RA in accordance with HUD's regulations.

WHEREAS, pursuant to the commitment made by the CA, this agreement is executed outlining the type, scope and extent of services that the CA will provide to the RA if the grant is funded. If HUD does not fund the grant, this agreement shall be null and void.

Both parties herein fully understand and agree to the following:

Roles and Responsibilities

The CA agrees to oversee the administration of the TOP grant which includes financial management, procurement, completing the semi-annual reports, and ensuring that all grant activities are completed successfully within the grant period. In meeting these commitments, the CA agrees to abide by the provisions of 24 CFR Parts 950, 964, 45, 84 and 85 and OMB Circulars A-87 and A-122.

The CA agrees to operate under the direction of the RA. The RA retains ultimate responsibility for all grant activities, including drawing down funds from HUD, grant expenditures, and reporting to HUD. The CA will have authority to draw down funds and submit reports to HUD only with the written authorization of the RA. All checks and other expenditures in an amount higher than \$_____

must be signed and/or approved by the RA and/or CA.

The CA agrees to conduct an educational needs assessment to determine the skills of each resident selected to participate in the various training programs designed by the RA.

The CA agrees to provide training to board leaders and active members of the RA in the following areas within six months after the RA has executed an agreement with HUD:

- o HUD/OMB grant requirements including but not limited to 24 CFR Part 950, 964, 84 and 45 and OMB Circular A-122.
- o board development
- o community relations
- o principles of supervision and leadership
- o communications channels and chain of command
- o principles of employee motivation and management
- o evaluation and monitoring procedures
- o management planning for business functions
- o determining support services needs
- o develop a social services provision plan
- o implement the implementation plan

Coordination of Training and Technical Assistance Services

The CA agrees to coordinate the provision of assistance from community organizations, governmental officials and other public services on a variety of related topics and available relevant resources to the residents. Following are suggested resources:

1. Elected Officials
2. Area Enrichment Programs
3. Local Banks - Community Relations Departments
4. Chamber of Commerce - Small Business Development Programs
5. Community Development Agencies
6. Private Industry Council
7. Local and State Health and Human Services Agencies & Affiliates
8. Local Higher Education and Continuing Education Facilities
9. Local Independent School Districts
10. Community Social Services Organizations

Technical Assistance may also be provided on a variety of areas including but not limited to: general bookkeeping/record keeping procedures, procurement

policies; banking procedures and managing grant funds.

Evaluation

The CA agrees to coordinate, conduct and/or assist the residents in evaluating the TOP based on the methodology in the applicant's proposal to HUD.

Contracted Amount

No funds will be paid to the CA for services rendered prior to HUD selection of the RA for TOP funding or for services rendered prior to the execution of a grant agreement between the RA and HUD. This agreement is conditioned on HUD's selection of the RA for TOP funding.

The contracted amount for all services defined within the context of this contract is based on a _____ period of time beginning _____ and ending _____, or \$ _____ for year one of the project, and \$ _____ for year two of the project with year two beginning _____. The installment payments shall be made in the amount of \$ _____ to _____ upon submission of a Payment Voucher (PV) for costs incurred.

Termination

The RA may terminate this agreement with 60 calendar days written notice to the U.S. Department of Housing and Urban Development, Office of Community Relations and Involvement, Office of Resident Involvement and the CA. Termination may be based on non-compliance and/or non-cooperation by the CA. Termination may only occur when all channels of resolution have been exhausted, including mediation between the two parties. If all avenues have been exhausted, termination will require a two-third majority vote of the Board of Directors of the RA.

WITNESS OUR HANDS EFFECTIVE _____

Resident Council:

Contract Administrator:

RC President

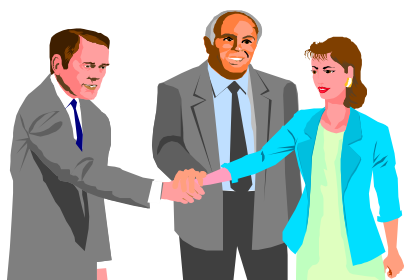
Executive Director

Date

Date

TAB 7

THRESHOLD AND SELECTION CRITERIA CHECK LIST



THRESHOLD AND SELECTION CRITERIA CHECK LIST

This checklist will be used by the applicant and by HUD to verify that all program threshold requirements have been met and that selection factors have been addressed as well as possible. The applicant should indicate its verification by placing a checkmark in the left hand column appearing after the description of each threshold or selection criterion. HUD will complete its own checklist verification in the right hand column during the screening process.

THRESHOLD REQUIREMENTS	APPLICANT USE	HUD USE ONLY
Each applicant must:		
1. Submit a Needs Assessment Report (TAB 2)	_____	_____
2. Submit a Grant Implementation Plan (TAB 3)	_____	_____
3. Provide evidence that the proposed plan is consistent with the State Welfare Plan (TAB 3- SECTION II)	_____	_____
4. Provide written evidence that at least 75% or more or residents are affected by Welfare Reform (TAB 3- SECTION I, TAB 2)	_____	_____
5. Provide a signed MOU between the RA and the HA (TAB 6)	_____	_____
6. Provide evidence that the program activities will be administered in a community facility (TAB 3- SECTION VII)	_____	_____
7. Provide evidence that the RA will use the services of a Contract Administrator in administering the TOP grant.. (TAB 3- SECTION IV NARRATIVE, TAB 6- PARTNERSHIP AGREEMENT OR MOU)	_____	_____
8. Provide evidence that the applicant is registered as a nonprofit corporation with 501(c) status or has applied for such status (TAB 6- EXHIBIT 1)	_____	_____
9. Provide certification of the RA board election, notarized by the local HA and/or an independent third-party monitor (TAB 5)	_____	_____
10. Provide certification of compliance with all applicable HUD requirements. (TAB 5- 424-B FORM AND OTHER CERTIFICATIONS)	_____	_____

	APPLICANT USE	HUD USE ONLY
THRESHOLD REQUIREMENTS (continued)		
11. Provide certification of automated capability (TAB 5)	_____	_____
12. Provide certification that evidence that there are no unresolved negative HUD Inspector General Audit Findings or Equal Opportunity Findings. (TAB 4 CERTIFICATION)	_____	_____

SELECTION FACTORS

1. <u>Quality of the TOP Implementation Plan</u> (40 points)		
(i) Needs Assessment (10 points) (TAB 2)	_____	_____
(ii) Viability and Comprehensiveness of the Strategies to Address the Needs of Residents (15 points) (TAB 3- SECTS I & 3)	_____	_____
(iii) Proposed Program Staffing (5 points) (TAB 3- SECTION VI(A))	_____	_____
(iv) Budget Appropriateness/Efficient Use of Grant Funds (5 points) (TAB 3- SECT. III CHARTS C AND D AND NARRATIVE BREAKOUT)	_____	_____
(a) Detailed Budget Break-Out		
(b) Reasonable Administrative Costs		
(c) Budget Efficiency		
(v) Reasonableness of the Timetable (5 points) (TAB 3- SECTION 3 CHARTS A AND B)	_____	_____
2. <u>Adequacy of Managerial/Fiscal Structure for Administering and Coordinating Services to Meet Needs</u> (30 points)		
(i) Program Administration (5 points) (TAB 3- SECTION VI)	_____	_____
(ii) Fiscal Management (5 points) (TAB 3- SECTION VI(B)2)	_____	_____
(iii) Program Assessment (5 points) (TAB 3- SECTION VII)	_____	_____
(iv) Applicant/Administrator Track Record/		

Capability (15 points) **(TAB 4)**

(3) Partnerships (30 points)

(i) Housing Authority-Resident Association Partnership (10 pts) **(TAB 3- SECTION IV, TAB 6)**

(ii) Other Partnerships (15 points) **(TAB 3- SECTION IV, TAB 6)**

(iii) Resident Involvement (5 points) **(TAB 3- SECTION V)**

(4) Bonus Points - Leveraging Community Resources
(5 points) **(TAB 3- SECTION IV RESOURCE CHART AND TAB 6)**

ATTACHMENT 1

BLANK FORMS FOR APPLICANT COMPLETION AND INSERTION INTO TABS 3 AND 4

(Do not include this page in your application)

Tab 3 Section III Chart A:

TOP PROGRAM PLAN SUMMARY

#	PHASE	START DATE	MILESTONES	PARTNER ACTIVITY
1				
2				
3				
4				
5				
6				

OVERALL PROGRAM OBJECTIVE: _____

Tab 3 Section III Chart B:
TOP PROGRAM ACTIVITY BREAKOUT
for Phase _____

	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED
A			
B			
C			
D			
E			
F			

Milestone: _____

TAB 3 SECTION III CHART C: TOP BUDGET

#	ACTIVITY	BUDGET ITEM
		TOP Resident Expenses
		Administrative and Other Costs
		Contract #1 Purpose
		Contract #2 Purpose:
		HOUSING AUTHORITY FUNDS
		PARTNER 1 Name:
		PARTNER 2 Name:
		PARTNER 3 Name:
		TOTAL COSTS
		TOP Resident Expenses
		Administrative and Other Costs
		Contract #1 Purpose
		Contract #2 Purpose:
		HOUSING AUTHORITY FUNDS
		PARTNER 1 Name:
		PARTNER 2 Name:
		PARTNER 3 Name:
		TOTAL COSTS
		TOP Resident Expenses
		Administrative and Other Costs
		Contract #1 Purpose
		Contract #2 Purpose:
		HOUSING AUTHORITY FUNDS
		PARTNER 1 Name:
		PARTNER 2 Name:
		PARTNER 3 Name:
		TOTAL COSTS

#	ACTIVITY	BUDGET ITEM	TOP GRANT FUNDS	PARTNR CONTR- BUTION	TOTAL RESOUR- CES
		TOP Resident Expenses			
		Administrative and Other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS			
		TOP Resident Expenses			
		Administrative and Other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS			
		TOP Resident Expenses			
		Administrative and Other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose:			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS			

#	ACTIVITY	BUDGET ITEM	TOP GRANT FUNDS	PARTNR CONTR- BUTION	TOTAL RESOUR- CES
		TOP Resident Expenses			
		Administrative and Other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose:			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS			
		TOP Resident Expenses			
		Administrative and Other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose:			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS			
		TOP Resident Expenses			
		Administrative and Other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose:			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS			

TOP BUDGET

BUDGET ITEM	TOP GRANT FUNDS	PARTNR CONTR-BUTION	TOTAL RESOUR-CES
TOP Resident Expenses			
Administrative and Other Costs			
CONTRACT			
HOUSING AUTHORITY			
PARTNER FUNDS			
TOTAL COSTS			

CHART D: SUMMARY BUDGET INFORMATION FOR HUD AUTOMATED TRACKING

List amounts budgeted for each line item. These line items and amounts will be programmed into HUD's Line of Credit Control System (LOCCS) for designating and tracking uses of drawdowns. Line items amounts in Chart D must be consistent with the more detailed budget in Chart C. (For example, Lines 9740 and 9750 in Chart D should add up to total "Resident Costs" on the last page of Chart C)

=====	
BUDGET LINE ITEM	AMOUNT
9710 - Phase 3 Employment Readiness Training Contracts	_____
9720 - Phase 4 Business/Employment Training Contracts	_____
9730 - Phase 5& 6 Placement/Retention/Grant Closure Contracts	_____
9740 - Travel Costs	_____
9750 - Other Resident Costs	_____
9760 - Administrative and Other Costs	_____



Total of Provider/Partner Contributions

Requested TOP Grant Funds:
(equals)

Total Program Resources:

\$_____ Page No. _____

TAB 3 SECTION VI CHART: **PROGRAM STAFFING**

☐ I. APPLICANT/CONTRACT ADMINISTRATOR

Name of Staff *	Organization and Position	Role in Grant Program	% Time on Grant	Cost to Grant (if applicable)

II. CONTRACTOR ROLE

TYPE OF CONTRACTOR TO BE SOLICITED	ROLE IN GRANT PROGRAM	ESTIMATED COST TO GRANT PROGRAM

* Attach resumes which, for volunteers, may include relevant training to be provided with Grant Funds.

TAB 4 CHART - APPLICANT/ADMINISTRATOR TRACK RECORD

[illegible]

